Records Management for Archivists

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Jersey City, NJ
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Introductions

- *Your name?*
- *Your Institution?*
- *Your role? RM Archives IT*
- *Why are you here today?*

Lets come to terms!

- How are terms the same or different?

What do you see here?

What do you see?

- Coke
- Soda
- Pop
- Tonic
- ???

How about here?

What do you see?

- Sandwich
- Hoagie
- Sub
- Poboy
- Torpedo
- Grinder
- Lunch, I'm outta here!

Same terms, different meanings

What does ‘Archive’ mean to you?

For ‘RM’ = *Keep*	For ‘IT’ = *Move*
Information must be preserved & readable, whether it is 10 or 100+ years from now	Migrate data to off-line or near-line storage (tape, optical, low cost storage device, etc.)

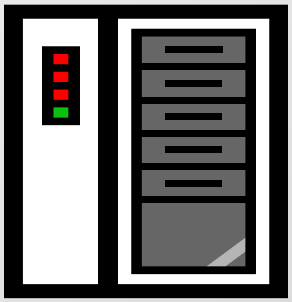
How about ‘Retention’?

For ‘RM’

- Classify & store records according to a defined schedule
- May include potential record disposal

For ‘IT’

- Store in an electronic format and back up to another medium (i.e. tape)
- Destruction period not explicitly defined



What is storage space?

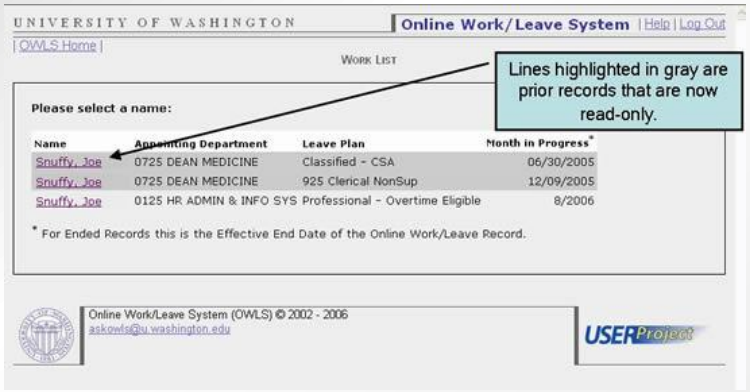
For 'RM'

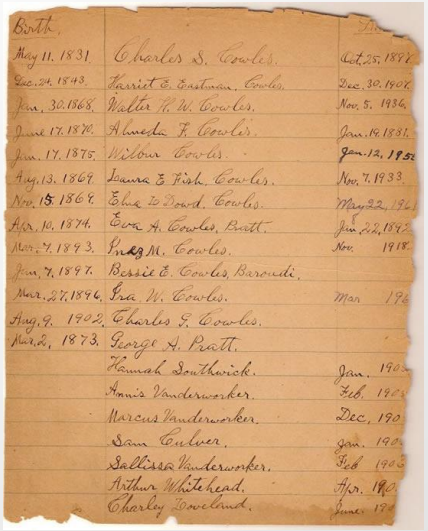
- Records facility
  - (or basements, closets, and attics)
- Area for paper records
  - Short term storage
  - Long term storage

For 'IT'

- Hard Drive, SANS, NAS
- Data Migration
- Offline and Near Line storage
  - CD, DVD

What is a Record?



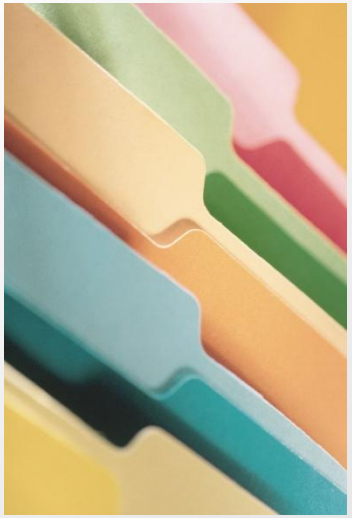


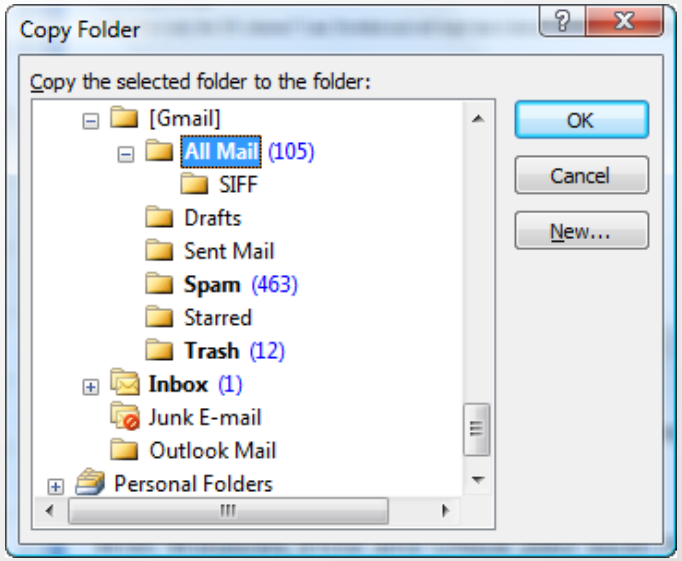
What is a File?

Housing.csv

	A	B	C	D	E	F	G	H	I	J
1	NAME	KEY	H004001	H004002	H004003	H005001	H005002	H005003	H005004	H00500
2	Alameda County	6001	523366	286277	237089	16817	6086	1919	2000	1
3	Alpine County	6003	483	330	153	1031	14	3	2	
4	Amador County	6005	12759	9629	3130	2276	145	187	75	1
5	Butte County	6007	79566	48336	31230	5957	1728	1016	524	1
6	Calaveras County	6009	16469	12967	3502	6477	231	278	180	5
7	Colusa County	6011	6097	3853	2244	677	70	89	35	
8	Contra Costa County	6013	344129	238449	105680	10448	2950	1846	1313	1
9	Del Norte County	6015	9170	5852	3318	1264	395	180	97	
10	El Dorado County	6017	58939	44019	14920	12339	919	535	364	9
11	Fresno County	6019	252940	142795	110145	17827	6352	2355	1051	3
12	Glenn County	6021	9172	5855	3317	810	298	88	108	
13	Humboldt County	6023	51238	29534	21704	4674	1067	509	325	1
14	Imperial County	6025	39384	22975	16409	4507	842	319	230	2
15	Inyo County	6027	7703	5076	2627	1339	195	95	101	
16	Kern County	6029	208652	129609	79043	22912	7029	3409	1267	5
17	Kings County	6031	34418	19253	15165	2145	903	349	187	
18	Lake County	6033	23974	16914	7060	8554	810	732	280	5
19	Lassen County	6035	9625	6575	3050	2375	473	281	77	1
20	Los Angeles County	6037	3133774	1499744	1634030	137135	56089	23874	11716	13

Housing





Exercise One

- Yes already! You came here to learn right?

- Step One –
- Organize your records!

- ***Please note: Any of your records that do not "make it" to the end of class, please save the paper for further exercises!***

What is a record?

- “Record" means any paper, written or printed book, document, drawing, map, plan, photograph, microfilm, data processed or image processed document, information stored or maintained electronically or by sound-recording or in a similar device, or any copy thereof, that has been made, maintained or kept on file in the course of his or its official business by any officer, commission, agency or authority of the State or of any political subdivision thereof, including subordinate boards thereof, or that has been received in the course of his or its official business by any such officer, commission, agency, or authority of the State or of any political subdivision thereof, including subordinate boards thereof. The terms shall not include inter-agency or intra-agency advisory, consultative, or deliberative material.

The Records Lifecycle

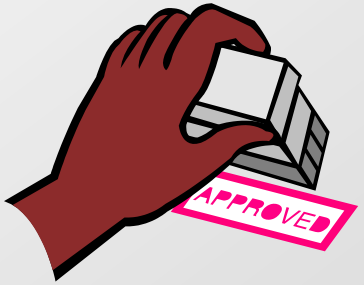
- Creation
- Use – (Active Record)
- Storage – Semi Active and Inactive, short and long term
- Disposition – destruction or archived

Records Management follows the entire life cycle of a record.

Historical Background
(in New Jersey)

- 1920 Creation of Public Records Office in NJ
  - All public records had to have approval before being destroyed.

- PL 1953, c.410 Creation of the State Records Committee
  - Final authority of records
  - Defined public records
  - Required retention schedules
  - Required prior approval before record were destroyed



- PL2000, c. 140 Open Public Records Act
  - Public records must be accessible in most cases
  - Required for Financial and Legal Accountability
  - Defined exempt records
  - Use of forms to determine what records are being requested AND ESTABLISHES TIME LIMITS
  - Some records with immediate access
  - Some records within a seven day turnaround.

  - So what is a public record?

OPRA / FOIA continued

- Public Record – Those that document an operating unit of government or an agent of government that receives substantial contributions of tax dollars to conduct its business

- Private Records – are those that evidence activities from an organization that does not receive substantial contributions of tax dollars

- Public Trust – Public records are evidence of a citizens' rights of property ownership, taxes paid, services rendered, obligations met, formal educational training received, vital statistics and are crucial to the organization of our society and the daily operation of government.

What does this all mean to me?

- Public officials must ensure that public records are protected from alteration, defacement, transfer or destruction, and are readily available.

- This is the main focus of an efficient records management program.

What are parts of a Records Management Program?

- Policies and procedures in place regarding transfer of physical and intellectual custody of records to the archives program
- The archives program and the RIM program, both provide procedures for access.
- A Records Retention policy is in place
- Procedures and standards for appraisal of records, when there is no retention policy.

- Records disposition procedures, ensuing authorized destruction and adequately documented.

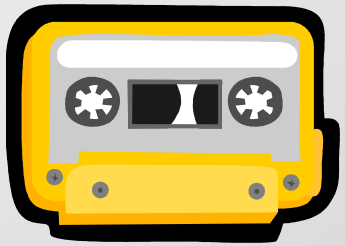
- Well designed and implemented records system that addresses,
  - Capture of both paper and electronic records
  - Records Registration
  - Classification
  - Application of metadata
  - Storage conditions for both paper and electronic records

- Monitoring and Auditing of Records Management Program

- Training for Records Creators

Remember:

- A record must be able to be located regardless of where it is, where it should be, or where it has been and what format/ media it is in.



Key features of a Records Management Program

- File Management
- Records Inventory
- Records Retention
- Record Storage
- Vital Records
- Protection and Preservation
- Disaster Planning and Recovery

Exercise Two

- Let's file our records.
- What is the first way you can think of to file them?
- What are some other ways they can be filed?

File Management

- Knowing how to file or how things have been filed is key to organization and being able to locate a record.

- Filed records are
  - Active
  - Semi Active
  - Inactive

Centralized Filing

ADVANTAGES:

- Business process efficiencies
- Space Savings – less duplication
- Security – check in, check out procedures
- Legislative Compliance
- Responsibility for files management easily placed
- Better consolidation of all records of one subject
- Trained personnel can file better than most office staff

DECENTRALIZED FILING

- Best for active files
- Sensitive file content easier to control
- Geographic concerns – not all departments, or managers have immediate access.

File by Type

General rule: Records should be filed by the most recognized feature.

- Alphabetical
- Numeric
- Straight Numeric
- Terminal Digit - Spreads workflow throughout the system
- Alpha-Numeric
- Uniform Files Classification Index ex. ADM -01- Advertising, ADM-01-01 General,
  ADM -01-02 - Newspaper, ADM 01-03 Television, etc.

File by Scheme

- Name
- Geographic
- Case Files
- Subject –
  - Dictionary
  - Encyclopedic
- Structured Functional large
- Chronological
- Functional
- Retention Period

Exercise 3

- File your records alphabetically
- File your records by subject (type)
- File your records by ??????

The Records Inventory

- One of the first steps in establishing any records program is to inventory your records.

- Be sure to include ALL FORMATS of records, paper, electronic, microforms, etc.

RECORDS INVENTORY

- A complete and accurate listing of all records no matter what format (paper, microform, or electronic.
- How and where stored (how filed)
- Volume of storage
- How is it classified?
- Retention period if known
- Value if retention is not known.

Exercise 4

- Lets perform an inventory of your records!
- How many series do you have?
- How many document types do you have?

Electronic Records

- Life Cycle the same Create, Use, Store, Disposal
- Terminology similarities - Create, Maintain, Access, Transmit, Delete

Types of Electronic Records

- Born digital records (word docs, spreadsheets, etc.)
- Email
- Scanned images
- Backups required
- Data migration
- Changing Technology, a blessing and a curse

Backup Concerns

- Know your media type
- Know where backup copies are stored
- Know how many backup copies are needed to preserve records
- Know the relevant operating procedures
- Ever increasing records

Records Retention

- Documents value
- Primary – Financial, legal, administrative, research
- Secondary – Historical, Evidential, Informational

Parts of a retention schedule

- Vital Record? (Normally 3 – 5 % of all records)
- Time for active storage
- Time for inactive storage
- Disposition – disposal or archives or Permanent
- Statutory Citation

Disposal Methods

- Shred
- Recycle
- Incinerate
- Erase
- Landfill

Record Storage

- On-site
- Off-site – owned or subcontracted
- Records Center – Public agency or commercial
- Archival Facility

Vital Records

- Vital records *these records are needed in organizations day to day work.*
- *establishes legal status of the organization*
- *documents the assets and liabilities of the organization from a financial perspective*
- *documents the operations of the organization, which enable production processes or other work top be accomplished.*

Vital Records Protection

- The cost of maintaining the vital record should include an additional copy or a reduced size copy.
- VR is a form of business interruption insurance
- Insurance premiums paid are costs of the protective measures taken.

Vital Records Manual

- Published separately or as part of Records mgmt manual. Should include

1. Procedures of the vital records program and list objectives security and access to facility, physical location of vital records.
2. Explanation of vital records master list
3. Instructions for reconstructing vital records in the event of a disaster

Vital Record Needs

- Emergency needs
- How will you resume normal business
- How will you protect legal and fiscal rights of citizens and employees

Risk Analysis

- Know your risks you may face, to plan to protect your records
- Do a search all around your building.
- Natural Risks
- Human Risks
- Facility Related Risks

Risk Analysis

- Levels of Risk
- 1. Global
- 2. Regional
- 3. Functional
- 4. Organizational
- 5. Departmental
- 6. Project
- 7. Small

Risk Analysis

- Levels of Risk

1. nuclear attack
2. earthquake – requires assistance of local govt. temp housing, blueprints of major buildings in a city.
3. fire in a plant – backup of computers can help recover data
4. fire in a records center – Fire during non-business hours.
5. partial building damage – only a few departments affected.
6. destruction of research notes – dispersal of records could help
7. lost document store on other media for backup?

STORAGE ALTERNATIVES

- Microfilm – 500 years
- Microfiche
- Aperture Cards
- Optical Disk – Longevity?? Non Archival
- Digital Imaging

Records Protection and Preservation

Preservation – Preventive Maintenance

- Conservation – Correcting problems
- Factors to consider
  - Is it an original artifact
  - Handling/ Usage
  - Environmental conditions
  - Pests
  - Mold

And How do we plan for this? A Disaster Plan!

- Disasters Happen

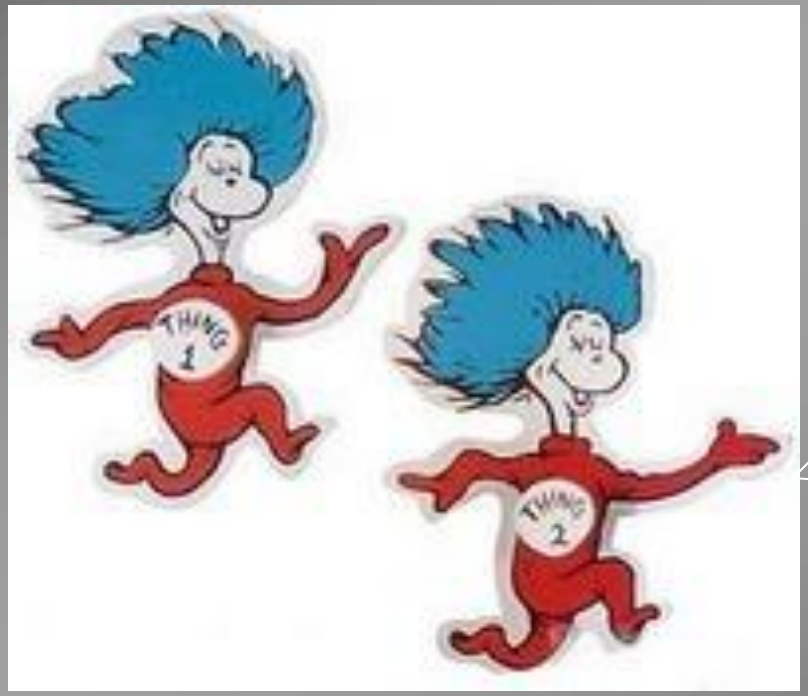
What do you think is a disaster?

- Having a bad hair day?

- Have a meeting with your boss?

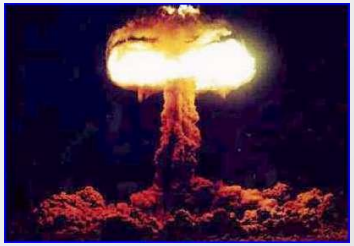
- Having to sit through this presentation?

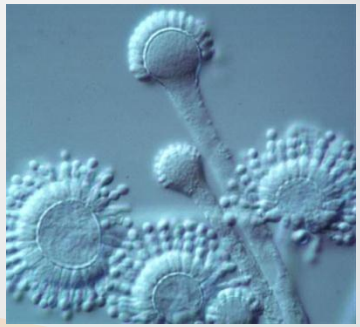
Its Not If…..



But When !!!

- Disasters can come in many sizes
- Small to Large
- Visible and Invisible
- Silent and LOUD
- Wet and Dry
- Caused by Man or Nature





Disaster Prevention Plan

- *"Businesses and individuals never plan to fail but often fail to plan"*

- What do you do when something goes wrong?

Four phases of a disaster

- Preparedness- Preparing to handle an emergency
- Response – Responding safely to an emergency (By FAR the shortest phase)
- Recovery – Recovering from an emergency
- Mitigation – Preventing future emergencies or minimizing the effects

Disaster Planning

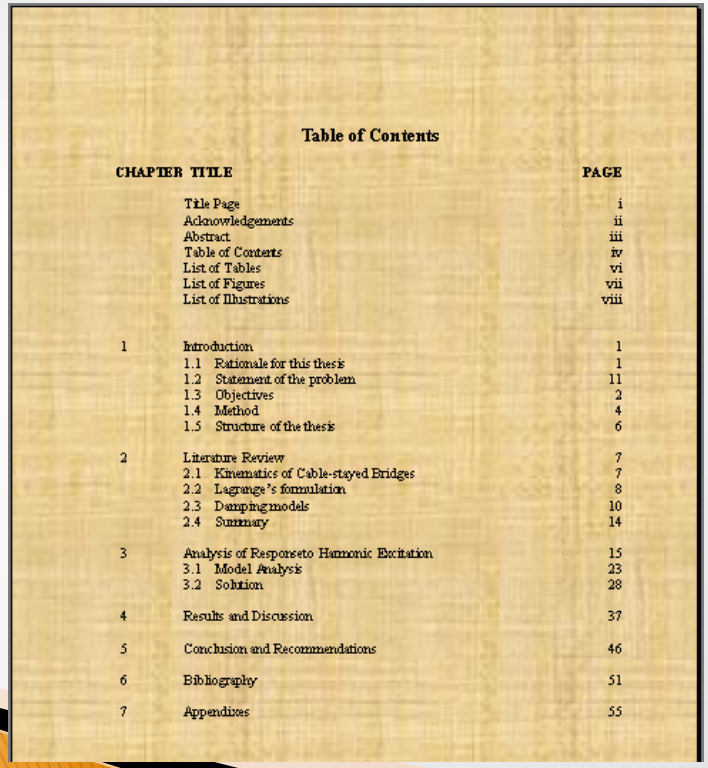
- **A Disaster Protection Manual should include…**
- *Disaster plan*
- *Information about disaster preparedness*
- *Procedures for a disaster in progress*
- *Plans for disaster recovery*
- *May include structures, occupants, hazardous materials, floor plans, location of vital records*

Basic Parts of a Disaster Plan

- Introduction
- Contact List
- Emergency Information Sheet
- Floor Plan
- Salvage Priorities
- Salvage and Recovery Methods

Table of Contents

People need to find information fast
Try to keep it to one page



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Introduction

- This is a place to keep basic info
  - Purpose and Scope of Plan
  - Date of last update
  - Recommended Revision date
  - Where copies are located

  - The introduction should be brief, during an emergency may be the first time management sees this!

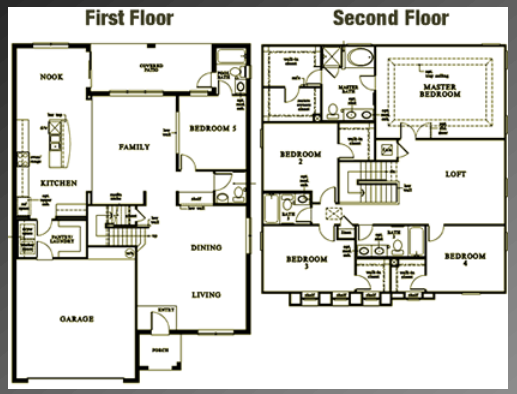
Contact List

- Names
- Phone numbers – Cell and home
  - Responsibilities – Assign jobs
  - Make sure your people know what their job is before hand.
    - Some people will not want to get dirty
    - Some people will be too stressed out
    - Some people may thrive
- Know where your people are and how to find them.

Emergency Information Sheet

- One Page Responses of What to Do

Fire
Flood
Bomb Scare
Theft
Winter Storm
Etc……



Floor Plans

- Be able to show someone on a map, where the things are you must have to continue working.

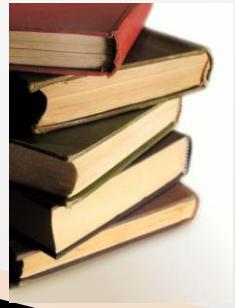
- Floor plans should include locations of Circuit boxes, shut off valves, exits, etc.

Salvage Priorities

- Know what to grab first (Vital Records)
  - Short term (in first few hours)
  - Records to handle crisis (Assume return to building soon)
  - Agency critical (must have to function off site)

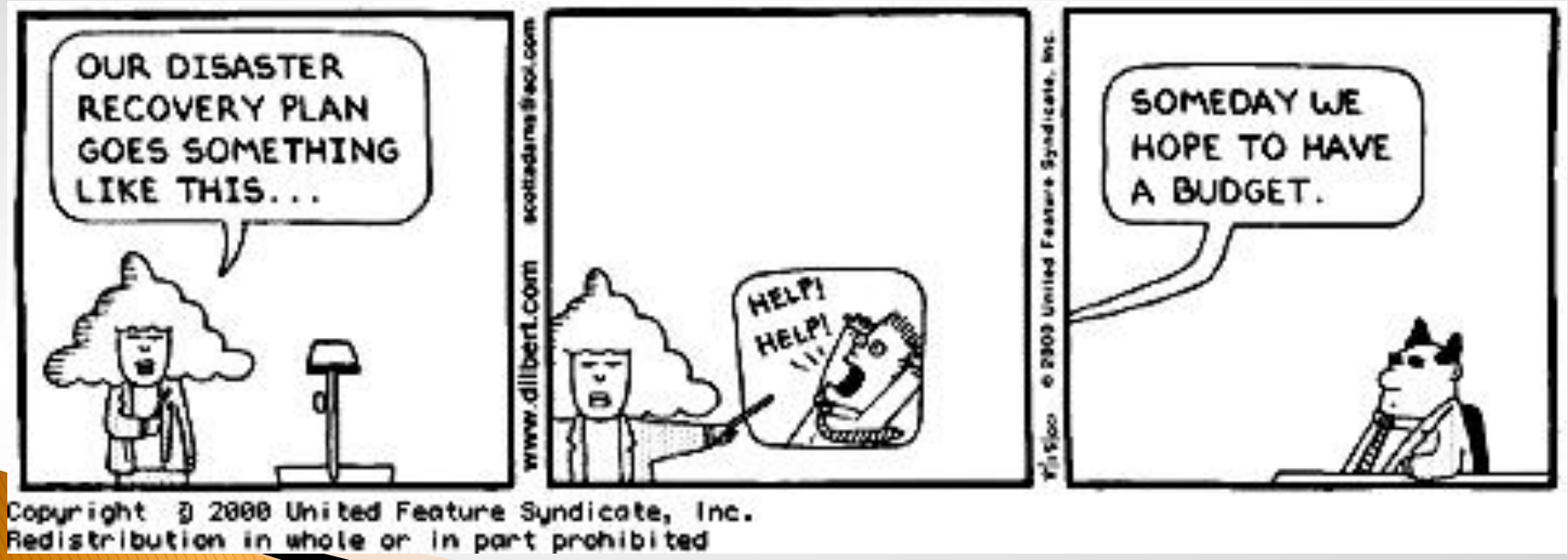
Salvage And Recovery Operations

Procedures for handling damaged records



Disaster Plan problems:

- No one knows where the plan is.
- No one has read the plan.



How many plans do you have?

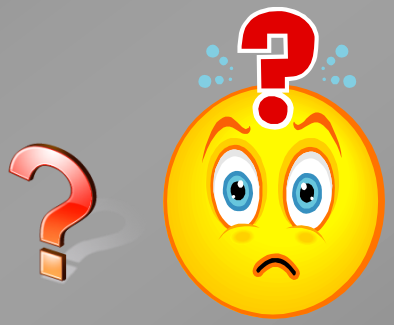
- Disaster Plan
- Emergency Operations Plan
- COOP/COG
- Health Department Specific Plan
- IT Backup and Disaster Recovery Plan
- Building evacuation Plans
- Departmental Standard Operating Procedures

Wise men (and women) say……

Knowledge is the key to Prevention and Protection

When it happens, what do you do?

1. Who is in Charge?
2. Who do you call first?
3. Where do you go?
4. What are our vital records, and where are they?
5. What supplies and resources should you have?



People do not like to “get dirty”.

People know someone else will do it, or it is “not their problem”

No one wants to lift boxes

People are too busy to plan for “someday”

Other people are not as passionate about those records as you are! (we are crazy you know!)

Disaster Plan

- Plan ahead
- Practice/ Test
- Correct/ Update
- Practice/ Test
- Correct/ Update
- Practice/ Test
- Correct/ Update

- You MUST Practice!

Disaster Recovery: Lessons learned from Katrina

- No plans for long term recovery
- Leased buildings locked down by owners before workers could get in to retrieve data.
- Records managers not allowed into buildings, at times until months later
- No plans for worker/ family care for wide area disasters

Writing a Plan continued

- Get upper management's approval for a plan in the early stages
- Provide any necessary training for disaster response team
- Make sure everyone has a copy of the plan, including phone numbers, calling tree
- Store emergency supplies in clearly marked places, known to the team

Parts of a Disaster Plan

- Chain of Command – Phone List
- Communications Procedures
- Alternate Operations Site
- Hot Site/ Warm Site/ Cold Site
- Records Management and IT Officials
- Treatment Procedures
- Emergency Supply Lists
- Lists of Vendors
- TEST, PRACTICE, UPDATE

Our changing roles

- We must move with technology advances.
- Digital documents are created anywhere by anyone.
- More need for access, surveillance and security in all formats.
- It's not just about paper anymore!

Information Management

- Both Archivists and Records Managers must need to think about records globally, both physical and virtual records throughout the organization as sources of knowledge and participate in enterprise wide organizational learning

Training Opportunities

- Training resources, and certification options
- MARAC
- CARMA
- SAA
- ARMA – CRM
- AIIM – ERM, ECM, BPM, IOA, Web 2.0. email mgmt
- NARA – Federal Records Manager Certificate
- MASTERS Degrees

Summary

Questions?

Thank You!

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